

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Akira MIZUNO, et al.

SERIAL NO: New Application

GAU:

FILED: HEREWITH

EXAMINER:

FOR: PYRROLOTHIAZINE AND PYRROLOTHIAZEPINE COMPOUNDS HAVING  
SEROTONIN-2 RECEPTOR ANTAGONISTIC AND ALPHA-1-BLOCKING ACTION

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references cited in the attached International Search Report and attached PTO 1449. Copies of the listed references were cited and made of record in the parent application, U.S. Serial No. 09/871,655, filed June 4, 2001, which is a Divisional of U.S. Serial No. 09/367,841, filed August 26, 1999 which is the National Stage of International PCT Application No. PCT/JP98/05954.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

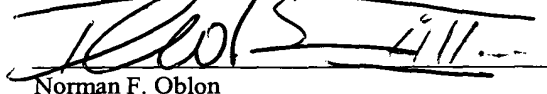
- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Norman F. Oblon

Registration No. 24,618



22850

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. <b>240178US0DIV</b>		SERIAL NO. <b>New Application</b>	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT <b>Akira MIZUNO, et al.</b>			
				FILING DATE <b>Herewith</b>		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	5,075,440	12/24/91	D.J. Wustrow, et al.			
	AB	5,206,239	4/27/93	Mizuno, et al.			
	AC	5,391,731	2/21/95	Mizuno, et al.			
	AD	5,416,082	5/16/95	Mizuno, et al.			
	AE	5,397,780	3/14/95	Mizuno, et al.			
	AF	5,399,557	3/21/95	Mizuno, et al.			
	AG	5,684,161	11/4/97	Imoto, et al.			
	AH	5,962,448	10/5/99	Mizuno, et al.			
	AI	6,258,805	7/10/01	Mizuno, et al.			
	AJ	6,271,223	8/7/01	Mizuno, et al.			
	AK	6,211,362	4/3/01	Mizuno, et al.			
	AL	6,187,772	2/13/01	Mizuno, et al.			
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                      NO		
	AO	WO 99/33840	7/8/99	WIPO			
	AP	218 909	12/28/00	Hungary (with corr. U.S. 5,075,440)			
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	Mizuno, Tetrahedron Letters 41(34) 6605-9 2000.					
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							